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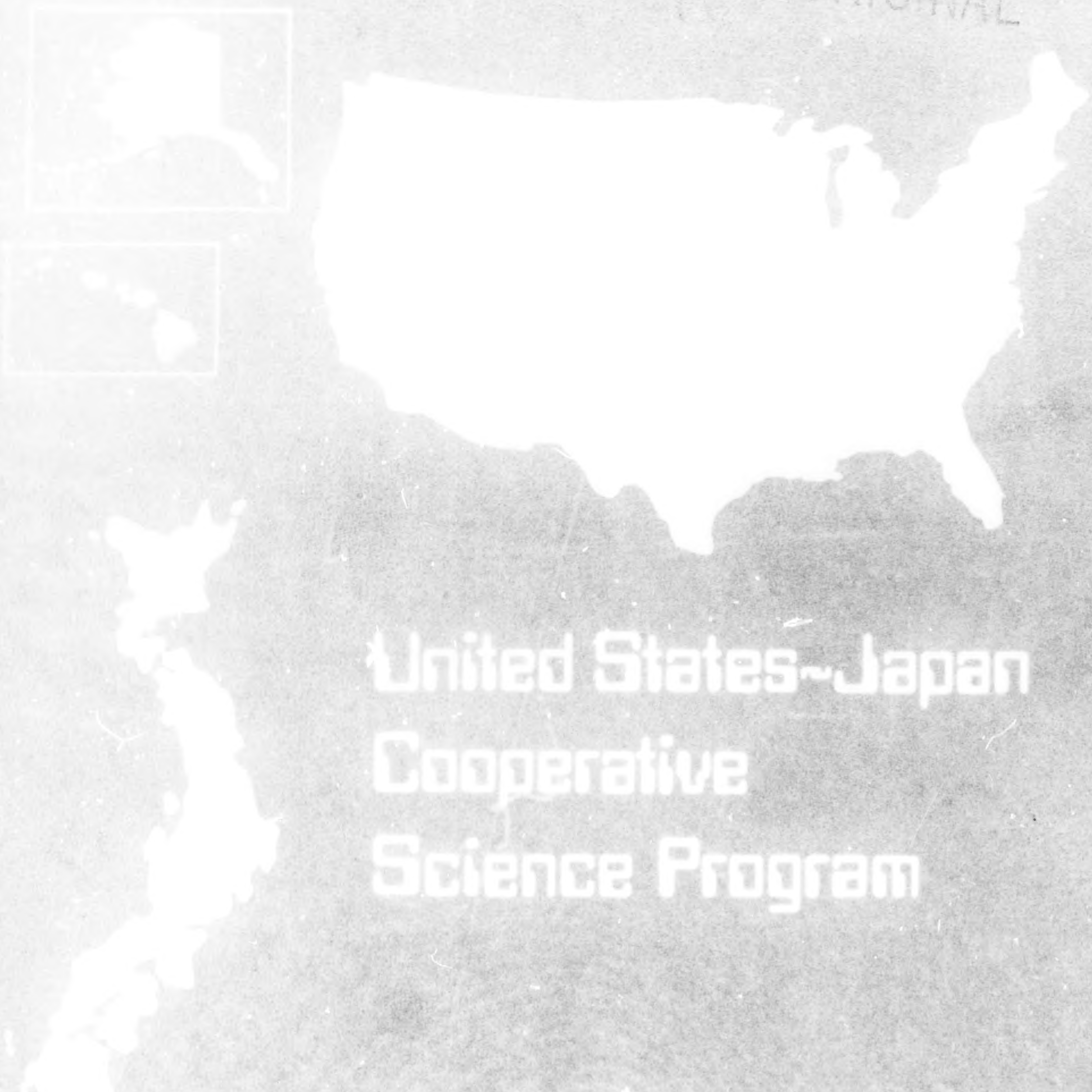
PROGRAM ANNOUNCEMENT



United States–Japan Cooperative Science Program

NATIONAL SCIENCE FOUNDATION
Directorate For Scientific, Technological
And International Affairs
Division Of International Programs

23 AUG 1982

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For further information, call 202-357-9537

If in Japan, you may wish to visit NSF/Tokyo
Office at the U.S. Embassy
telephone 03-583-7141

PREFACE

The National Science Foundation, through the Division of International Programs (INT), encourages and supports U.S. scientific participation in international science programs and activities which promise maximum benefit to the U.S. science effort. Integral to the operations of INT are the Cooperative Science Programs between the United States and other countries. The earliest of these bilateral agreements was with Japan; the Program was established to foster a closer collaboration between scientists of the two nations and is one of shared support. It places special emphasis on those activities of common scientific interest and benefit.

BACKGROUND

The United States-Japan Cooperative Science Program had its origin in discussions between Prime Minister Hayato Ikeda and President John F. Kennedy. Their joint communique, issued on June 22, 1961 stated: "...The President and the Prime Minister also recognized the importance of broadening educational, cultural, and scientific cooperation between the two countries." The Secretary of State, by letter dated March 9, 1962, requested that the National Science Foundation "...coordinate the scientific interests of the United States... and undertake to insure that initial funds are provided..., in support of cooperative projects."

ADMINISTRATION

The National Science Foundation (NSF) is the "Implementing Agency" for the United States. The agencies having authority for the administration of the Program in Japan are the Japan Society for the Promotion of Science (JSPS) and the Science and Technology Agency (STA). (STA is responsible only for the Scientific and Technical Communications category in Japan, while JSPS has executive responsibilities for activities in all other categories). Responsibility for policies, guidance, and general oversight is vested in the United States-Japan Joint Committee on Scientific Cooperation, which meets on an *ad hoc* basis whenever deemed necessary to review the Program and to recommend future activities to the two governments. The Joint Committee has established the following general guidelines for the administration of the Program:

- Both Japan and the United States must participate in each project approved under the Program.
- Both countries must jointly approve each project. Neither country will fund a project without the agreement of the other.
- The Japanese Government supports the Japanese scientists participating in the Program; the United States Government supports participating American scientists.

COOPERATION

The Joint Committee has established the following principles which should be satisfied in both countries to provide effective and harmonious scientific cooperation: all cooperative activities must be of high quality and beneficial to the advancement of science; each cooperative activity should be significant from a scientific point of view as a project for bilateral cooperation; all cooperation should be performed on a basis of mutuality and equality; at least one qualified scientist from each country with personal dedication to the project should participate in each cooperative activity; and scientists of each country should take part in their capacities as individuals. Proposals are considered in all recognized branches of science and technology. The Foundation does not fund projects in clinical medicine, the history of medicine, the arts and humanities, business areas, or social work. The Joint Committee has established the following categories:

- EDS: Education in the Sciences
- STC: Scientific and Technical Communications
- EPA: Earth, Planetary, and Astronomical Sciences
- BAM: Biological, Agricultural, and Medical Sciences
- MPC: Mathematical, Physical, and Chemical Sciences
- ENG: Engineering Sciences
- IPS: Interdisciplinary Problems, including Problems of Special Current Interest

ELIGIBILITY

Proposals may be submitted by U.S. academic institutions, U.S. government agencies on behalf of their laboratories or individual scientists, public or private (i.e., non-profit, non-academic) scientific organizations, and by unaffiliated individual scientists. U.S. government agencies and commercial firms are encouraged whenever possible to use their own funds to support their staff scientists in activities approved under the Program. (See *Grants for Scientific Research* available from the Forms and Publications Unit, NSF, and usually from institutional business offices.)

TYPES OF PROJECTS

Cooperative Research

Proposals for cooperative research projects are considered by the Program when special benefits can be expected from collaboration: sharing of unusual facilities and research environments, joining of complementary skills in experimentation and theoretical analysis, or combined use of resources in solving problems of common concern. The proposed cooperation should be of clear-cut benefit on both sides and requires concurrent submission of proposals by the U.S. principal investigator to NSF and by the Japanese principal investigator to JSPS. Although the Division of International Programs administers the activities under this Program in the United States, primary financial support for the project (e.g., salaries, equipment, publication charges) must be available from sources other than INT/NSF; such support may come from the research divisions of NSF, other Government agencies, non-profit institutions, universities, or other sources of funding in the United States. INT considers requests only for supplemental support (e.g., international travel costs and per diem expenses for short research visits to Japan, material shipment, communications, etc.) needed to expand a domestic project into a bilateral one. The duration of visits to Japan may vary from a week to three months and support may be requested for a single visit or, in the case of projects of longer duration, for a maximum of one visit per investigator in each twelve-month period. Support for Japanese participation in this activity is provided by Japanese sources. Projects of up to two years' duration may be approved.

Joint Seminars

This activity enables scientists in the United States and Japan to hold joint seminars on subjects of mutual interest for the purpose of exchanging information and ideas. Seminars involve small groups of American and Japanese scientists meeting in Japan or the United States and may be on any fundamental scientific subject compatible with the general purposes of the Program. Such will be the case, for example, when topics are of particular regional interest or when sufficient competence in the research area exists in both countries to make a meeting of U.S. and Japanese researchers mutually beneficial. Proposals must be submitted concurrently to NSF and JSPS and are considered only in cases where the meeting is a separate and discrete entity wheich has been initiated and developed from the outset with bilateral input from both a U.S. and a Japanese organizer and is of clear-cut benefit on both sides. Specifically, proposed meetings must be sufficiently separated, in time and/or location, from other related meetings in order to be considered a "separate and discrete entity." INT/NSF provides travel and per diem expenses for U.S. participants and a modest administrative allowance for the U.S. organizer. Requests from U.S. scientists for travel support to a national or international meeting in Japan in which they have been invited to participate are not considered under this activity.

Long-Term Visits to Japan

The Joint Committee has stressed the importance of more American research scientists working for extended periods of time in Japanese laboratories. This activity is designed to enable U.S. scientists to visit Japan to conduct research in collaboration with Japanese scientists at a research center or laboratory which provides unique opportunities for the U.S. investigator: unique expertise from a Japanese collaborator, unique experimental conditions in Japan, or a unique Japanese facility. Prior to the submission of a formal proposal to INT/NSF, interested U.S. scientists should correspond with their Japanese colleagues to establish and coordinate the objectives and program for the proposed visit. Scientists should also communicate with INT/NSF prior to the submission of a proposal to learn of any special conditions (e.g., economic, administrative, political) which might affect their proposed stay in Japan. The duration of the visit may be from six months to one year, with the time usually being spent at a single institution. Both established scientists and recent doctoral degree recipients are encouraged to participate in this activity. Proposals will be considered in any field of science. No matching proposal need be submitted in Japan, although NSF must obtain JSPS concurrence before an award can be made. INT/NSF provides salary supplementation and housing and dependent schooling allowances, as well as international travel expenses for the investigator and accompanying dependents, in accordance with current program guidelines for this activity.

Proposal Development Visits for Problems of Special Current Interest

The Foundation will support a limited number of short-term visits (one-to-two weeks' duration) to Japan to allow scientists to work more closely with a Japanese colleague in developing a proposal for cooperative research in specific problems of special current interest. Proposals for such visits are currently limited to marine biology and food productivity. Proposals may be in letter form and no matching proposal need be submitted in Japan. However, INT/NSF must obtain JSPS concurrence before making an award.

AREAS OF SPECIAL CURRENT INTEREST

Two Areas of Special Current Interest are active: Food Productivity and Marine Biology. In evaluating proposals for cooperative research projects, added weight will be given to proposals in these areas in comparison with other proposals of substantially equal merit. In order to promote activities in these two areas, a limited number of short-term visits to Japan will be supported for the development of proposals (see section 5.d). Moreover, cooperative research proposals in the areas of Marine Biology and Food Productivity will be accepted at any time. The U.S.-Japan Advisory Meeting on Food Productivity identified research objectives in the areas of carbon input, biological nitrogen fixation, non-conventional and better protein sources, environmental stress, and cell and organ culture which could be substantially advanced by more effective cooperation between scientists in the U.S. and Japan. The U.S.-Japan Advisory Meeting on Marine Biology of identified research topics in the areas of coastal organisms and ecosystems, open sea organisms and ecosystems, and fisheries biology which could be substantially advanced by more effective U.S.-Japan scientific cooperation.

PROPOSALS

Except as modified by the guidelines listed below, standard NSF guidelines on proposal preparation (content, format, budget, other sources of support, etc.), proposal submission, evaluation, NSF awards (general information and highlights), and declinations and withdrawals contained in *Grants for Scientific Research* (NSF 78-41 or 78-41A) are applicable. This publication is available on request from the Forms and Publications Unit, NSF, 1800 G Street, NW, Washington, DC 20550. The proposal should be self-contained and written with the care and thoroughness accorded papers prepared for publication. The checklist on p. 00 summarizes the proposal guideline requirements. For concurrent submission to both NSF and JSPS, the substantive information submitted to both agencies must be in agreement. In addition, each cooperative research and seminar proposal must include a copy of the Japanese counterpart proposal, in English (Japanese proposals are prepared in both languages), reproduced and collated in all copies. NSF will not accept a proposal in which the required counterpart proposal is missing. The guidelines given herein are for the use of U.S. scientists. Further information may be obtained by calling 202-357-9537. Japanese investigators should request the counterpart JSPS guidelines from:

Research Cooperation Division
Japan Society for the Promotion of Science
5-3-1, Kojimachi, Chiyoda-ku
Tokyo 102 JAPAN

Cooperative Research

FORMAT

A proposal for cooperative research consists of the following parts, assembled in sequence:

Cover Page. Use form provided in Section 8 (p. 8).

Proposal Information Page. Use form provided in Section 8 (p. 9).

Table of Contents.

Project Summary. Use form provided in Section 8 (p. 13).

Project Description. This should include details of the U.S.-Japanese cooperative aspects and, if support is being requested to visit Japan, the scientific justification and specific objectives of the visit(s).

Expected Scientific Benefits to the applicant and to U.S. and Japanese science. This section should also include an assessment of new knowledge and, if appropriate, of any applications and practical results that might be expected.

Information on Previous Professional Visits to Japan.

Current and Pending Support. If the primary research support is from anywhere besides another NSF office or the applicant's institution, the applicant must request that a letter be sent to INT/NSF concurring in the inclusion of the project under the U.S.-Japan Program. When primary support is currently ongoing, this letter should be submitted at the same time the proposal is submitted to INT/NSF; when primary support is pending; the letter should be submitted at the time of primary funding. See NSF publication No. 78-41 ("Grants for Scientific Research") for additional requirements.

Budget. INT/NSF does not provide primary support but rather can consider requests only for supplemental U.S. support. Travel and per diem for short research visits are the most common costs provided, although support for shipment of materials, field expenses in Japan, and other reasonable charges directly attributable to the U.S. portion of the joint effort may also be appropriate. If the budget requests travel to Japan, the following related costs are allowed:

- A round-trip ticket at the lowest available rate between the applicant's home airport and his Japanese destination. Use of U.S. flag carriers by successful applicants is required. In accordance with NSF requirements that each foreign trip be approved, the budget must specify the individual to be supported by funds requested for travel.
- Per diem for a limited period not to exceed the current U.S. Government rate. Per diem is limited to a maximum of 90 days per investigator per year.

The amount for transportation and per diem should be itemized separately, and the length of the proposed visit(s) specified. NSF does not provide an amount for indirect costs for grants awarded solely for the support of travel. In lieu of indirect costs, a fixed amount of $250 may be requested for the applicant's home institution to help defray administrative costs. The budget must be prepared on NSF form *Summary Proposal Budget.* A copy of the budget form is included in Section 8.

Biographical Information and List of Relevant Publications for both the U.S. and Japanese principal investigators.

Japanese Counterpart Proposal.

NO-COST U.S. PROPOSAL

The requirement for counterpart proposal submission to both INT/NSF and JSPS applies even if funds are only being requested on one side. In cases where only the Japanese scientist is requesting funds from JSPS under the Program, the U.S. proposal may delete the institutional endorsements and the budget page, and the research description may simply refer to the Japanese proposal.

SUBMISSION

The annual deadline date for the receipt of cooperative research proposals at NSF and JSPS is the April 1 preceeding the calendar year in which the proposed research will begin. Proposals in the areas of marine biology and food productivity may be submitted at any time, but at least nine months prior to the requested start date. The applicant should submit 10 copies of the proposal to: *Central Processing Section, U.S.-Japan Cooperative Science Program, National Science Foundation, Washington, DC 20550.*

EVALUATION

NSF's evaluation of cooperative research proposals is based on the proposal's merits and involves the regular NSF peer review system, with consideration of these factors:

- The scientific merit of the proposed research including (a) its potential for generating new knowledge and improved concepts, and (b) its approach and methodology;
- The competence of the U.S. and Japanese scientists in the proposed area of research;
- If appropriate, the potential applications of results of the proposed work in the U.S. and Japan;
- The benefits, scientific and other, to the U.S. and Japanese participants which may result from the collaboration.

Since Program funds are limited, consideration will also be given to scientific balance among disciplines or research topics and geographic distribution in establishing priorities for proposals of substantially equal merit.

Joint Seminars

FORMAT

A proposal for a joint seminar consists of the following parts, assembled in sequence:

Cover Page. Use form provided in Section 8 (p. 8).

Proposal Information Page. Use form provided in Section 8 (p. 9).

Table of Contents.

Summary. Use form provided in Section 8 (p. 13).

Seminar Description. This section should present a thorough scientific justification for convening the meeting, and also discuss the reasons for its support on a bilateral basis. The state-of-the-science in both countries should be clearly discussed and the advantages to both countries expected to result from the meeting should be cited. Information on other international meetings that have been held and are planned on this topic, and a discussion of the specific timeliness of the proposed meeting between U.S. and Japanese scientists should be included.

Agenda. The scientific scope and program of the meeting must be outlined in detail. Since the Program can only support a small number of participants, the organizers should give careful consideration to the breadth vs. depth issue in terms of the coverage and the proposed topics to be discussed.

Proposed U.S. and Japanese Participants. The U.S. and Japanese organizers are responsible for the nomination of their respective participants, subject to final approval by INT/NSF and JSPS. Participants should be nominated for their research contributions and their knowledge of the field to be discussed, and constitute broad national representation. This list must give: (a) each participant's title and mailing address; (b) a summary of the specific qualifications of each in relation to the meeting; and (c) the expected contribution of each to the topics of the agenda. The proposal should strive for a broad geographical distribution of the U.S. attendees. The total number of U.S. and Japanese attendees may not exceed 32, of whom no more than 16 may be from the U.S. Papers may be presented by up to 12 U.S. attendees, designated as "participants." All other U.S. attendees are designated as "observers." The United States-Japan Cooperative Science Program will provide financial support for a maximum of six U.S. participants for meetings held in Japan, eight for meetings in Alaska or Hawaii, and ten for meetings on the U.S. mainland. Any other approved U.S. participants and all U.S. observers are responsible for their own support. Only one participant from a single institution will be provided support. U.S. Government employees attending should normally seek support from their own agencies. Each participant supported by NSF must give a presentation and contribute to the seminar discussion. A maximum of six third country nationals may participate upon joint invitation by the U.S. and Japanese coordinators. They must provide their own support, and their attendance is subject to the approval of NSF and JSPS. Both the U.S. and Japanese participant lists should cite only those persons whose attendance can be reasonably assured in the event the meeting is approved, either because they are being nominated for INT or JSPS support, or because funds are expected to be available from another source. The U.S. organizer must have tentative agreement to attend from each of the U.S. participants who are listed. Each participant should also be made aware of the competitive selection process and the fact that occasionally, as a result of reviews, it is necessary for INT/NSF to require changes in the make-up of the delegation in order to recommend approval for the meeting. Therefore, support cannot be guaranteed for an individual by virtue of his/her nomination in the proposal.

Dissemination of Information. It is useful for reviewers to know what plans the organizer is making to disseminate the information resulting from the meeting.

Budget. The budget must be prepared on NSF form *Summary Proposal Budget.* A copy of the budget form is included in Section 8. The budget should be based on 6, 8 or 10 persons depending upon the *first choice site.* The following line items are allowed.

- Travel: a round-trip ticket at the lowest available rate between the home airport and the meeting location.
- Per diem: at a U.S. site, for the duration of the meeting; at a Japanese site, for the duration of the meeting, plus two additional days in Japan. Per diem will be at the standard U.S. Government local rate. Because rates vary greatly from site to site and are subject to frequent change, the U.S. organizer should inquire of INT/NSF as to the current rate for the first choice site at the time the proposal is being prepared.
- Local transportation: an allowance for necessary ground travel costs to and from airports. At a U.S. site, the maximum is $30/person; at a Japanese site, the maximum is $50/person.
- U.S. organizer costs: up to $500 for seminars in the continental U.S. and up to $300 for seminars in Hawaii or Japan.
- Other considerations:
    - * For meetings in Honolulu, INT/NSF maintains a contract with the East-West Center for conference facility support.
    - * Travel support for field trips or site visits is generally not provided by NSF, although these may be planned external to NSF support. If it is felt that either of these is crucial to the success of the meetings and such support is requested, specific justification must be included in the *Seminar Description* section.
    - * Neither registration fees nor honoraria are allowed.

Biographical Information and List of Relevant Publications for the U.S. and Japanese organizers.

Japanese Counterpart Proposal.

SUBMISSION

The deadline date for the receipt of joint seminar proposals at NSF and JSPS is June 1 of each year, for seminars to be held during the one-year period commencing on the following April 1. Notification to the U.S. and Japanese organizers of the NSF/JSPS decision is after January 1. The applicant should submit 10 copies of the proposal to: *Central Processing Section, U.S.-Japan Cooperative Science Program, National Science Foundation, Washington, D.C. 20550.*

EVALUATION

NSF's evaluation of seminar proposals is based on the proposal's merits and involves the regular NSF peer review system, with consideration of these factors:

- The justification for and the suitability and timeliness of the proposal topic for a meeting of U.S. and Japanese scientists;
- The format and content of the meeting;
- The qualifications of the prospective participants;
- The probable benefits to both countries, with respect to the exchange of information, and to expanded scientific cooperation;
- The proposed dates for the meeting in relation to similar national and international meetings held or planned.

Since Program funds are limited, consideration will also be given to scientific balance among disciplines or research topics and geographic distribution in establishing priorities for proposals of substantially equal merit.

APPROVAL

Once NSF and JSPS have agreed to support a proposed seminar, NSF will give tentative approval in writing to the U.S. organizer, setting forth the conditions under which the meeting may be held. Final approval will not be given without receipt by NSF and by the NSF Tokyo Office of the final list of approved U.S. participants.

REPORT OF THE MEETING

At the conclusion of an approved meeting, the U.S. organizer will be responsible for submitting a report to INT/NSF. The report's purpose will be to provide both a technical account and a critical evaluation of the meeting. It will include a full description of the scientific presentation and any new information exchanged; comments on the particular value and impact of this meeting on the direction of further work in both the United States and Japan; other benefits and accomplishments; and a list of areas identified in which work and cooperation are needed. Other report requirements are detailed in NSF Publication 78-41.

Long-Term Visits to Japan

FORMAT

A proposal for a long-term visit consists of the following parts, assembled in sequence:

Cover Page. Use form provided in Section 8 (p. 8).

Proposal Information Page. Use form provided in Section 8 (p. 9).

Table of Contents.

Project Summary. Use form provided in Section 8 (p. 13).

Project Description. This should include details of the U.S.-Japan cooperative aspects and scientific justification for performing this work in Japan.

Expected Scientific Benefits to the applicant and to U.S. and Japanese science. This section should also include an assessment of new knowledge and, if appropriate, of any applications and practical results that might be expected.

Copies of Correspondence showing that the Japanese collaborator is interested in working with the applicant and will provide necessary supporting facilities.

Information on Previous Professional Visits to Japan.

Current and Pending Support.

Budget. The budget page will differ from that suggested in NSF 78-41 in that the categories of permanent equipment, expendable equipment and supplies, and publication and computer costs are *not* supported under this Program. The budget must be prepared on NSF form *Summary Proposal Budget.* A copy of the budget form is included in Section 8.

Specific Program allowances are (see the insert in this brochure for current limits):

- A stipend to help compensate for anticipated salary loss from the applicant's home institution for the duration of the visit abroad. The allowance requested should be based on the academic salary minus the support to be received for the visit duration from the home institution and other sources, including any contribution from the counterpart host institution(s) (the source and dollar amount of this support must be specified). Fringe benefits, as described in NSF 78-41, are allowable on that portion of the stipend provided in lieu of salary by NSF. The stipend, including fringe benefits, is limited to a maximum monthly amount; total compensation may not exceed what the investigator's salary would have been during the same period in the U.S. Use section G.6 of the *Summary Proposal Budget* form and show how the stipend was calculated on a separate page. The stipend is not calculated on the basis of person-months of effort, but rather on the length of residence abroad. Check with NSF for the current limits.
- Housing allowance (use section F.3 of budget form).
- School allowance for children in grades 1-12 (include in section G.6 of budget form and explain on separate page).
- International travel (actual cost of round-trip economy fare by U.S. carriers for the visiting scientist and accompanying dependents to a specified maximum limit).
- Excess baggage allowance (include in section G.6 and explain on separate page).
- Miscellaneous expenditure allowance for shipment of supplies and equipment to and from the U.S. investigator's laboratory, internal travel within Japan for scientific purposes, and contingencies (use section F.4 of budget).

A fixed amount of $250 will be provided the university, in lieu of indirect costs, to help defray administrative expenses.

SUBMISSION

Proposals for long-term visits may be submitted at any time. Applicants should allow six months for NSF to reach a decision including Japanese concurrence. Applicants should submit 10 copies of the proposal to: *Central Processing Section, U.S.-Japan Cooperative Science Program, National Science Foundation, Washington, D.C. 20550.*

EVALUATION

NSF's evaluation of long-term visit proposals is based on the proposal's merits and involves the regular NSF peer review system, with consideration of these factors:

- The scientific merit of the proposed research, including (a) its potential for generating new knowledge and improved concepts, and (b) its approach and methodology;
- The competence of the U.S. and Japanese scientists in the proposed area of research;
- If appropriate, the potential applications of results of the proposed work in the U.S. and Japan;

- The benefits, scientific and other, to the U.S. and Japanese participants which may result from the visit;
- The unique factors which necessitate the visit to Japan.

Since Program funds are limited, consideration will also be given to scientific balance among disciplines or research topics and geographic distribution in establishing priorities for proposals of substantially equal merit.

FINAL REPORT

The visiting scientist is required to submit a final technical report and a summary description of his work in Japan. In addition to a detailed account of his research activity in Japan, the scientist should note with whom he worked, institutions visited, travel in Japan, and evaluate the total contribution of his visit.

Proposal Development Visits for Problems of Special Current Interest

FORMAT

Proposals may be in letter form, addressed to the U.S.-Japan Cooperative Science Program. A complete proposal should contain all the information needed for a definitive evaluation and consist of the following parts:

Summary—a short summary of the date and duration of the requested visit, the Japanese scientist(s) to be visited (with addresses, affiliations, and titles), and the research topics to be discussed.

Objectives—a brief statement of the objective of the proposed short-term visit.

Current Support—a brief summary of current and pending research support.

Biographical Information—a brief biography should be appended to the letter. Extensive lists of publications are not desired.

The letter should be signed by the principal investigator; institutional counter-signature is optional. The Check List for Proposal Submission in Section 8 does not apply.

SUBMISSION

Proposals for short-term proposal development visits will be accepted at any time. The applicant should submit an original and five copies of the proposal to the *U.S.-Japan Cooperative Science Program, Division of International Programs, National Science Foundation, Washington, D.C. 20550.*

EVALUATION

NSF's evaluation of short-term visit proposals involves the regular NSF peer review system, with consideration of these factors:

- The likelihood that the short-term visit will result in the submission of a cooperative research proposal;
- The track record or potential of the investigator;
- The concurrence of the Japan Society for the Promotion of Science (JSPS).

Since Program funds are limited, consideration will also be given to scientific balance among research topics and geographic distribution in establishing priorities for proposals of substantially equal merit.

AWARDS

Awards will be made in the form of an air ticket at the lowest available fare from the investigator's home airport to the Japan destination, provided through a travel agency contractor of NSF. The travel agency will also make reimbursement for per diem and limited ground transportation expenses at the end of the trip. Reimbursement will not be made for tickets which the investigator might purchase on his or her own behalf or through another travel agent.

REPORTS

The required report for short-term proposal development visits shall be a cooperative research proposal, submitted concurrently by the U.S. and Japanese investigators to NSF and JSPS within 60 days of the short-term visit. In the event that a cooperative research proposal could not be developed, the final report shall consist of a summary of the discussion between the U.S. and Japanese scientist(s) and an explanation of why a proposal could not be developed.

BEST DOCUMENT AVAILABLE

PROPOSAL TO THE NATIONAL SCIENCE FOUNDATION
Cover Page

FOR CONSIDERATION BY NSF ORGANIZATIONAL UNIT (Indicate the most specific unit known, i.e. program, division, etc.)	IS THIS PROPOSAL BEING SUBMITTED TO ANOTHER FEDERAL AGENCY? Yes ____ No ____ ; IF YES, LIST ACRONYM(S):
PROGRAM ANNOUNCEMENT/SOLICITATION NO.:	CLOSING DATE (IF ANY):

NAME OF SUBMITTING ORGANIZATION TO WHICH AWARD SHOULD BE MADE (INCLUDE BRANCH/CAMPUS/OTHER COMPONENTS)

ADDRESS OF ORGANIZATION (INCLUDE ZIP CODE)

TITLE OF PROPOSED PROJECT

REQUESTED AMOUNT	PROPOSED DURATION	DESIRED STARTING DATE
PI/PD DEPARTMENT	PI/PD ORGANIZATION	PI/PD PHONE NO.

PI/PD NAME	SOCIAL SECURITY NO.*	DATE OF HIGHEST DEGREE ACHIEVED	MALE*	FEMALE*
ADDITIONAL PI/PD				
ADDITIONAL PI/PD				
ADDITIONAL PI/PD				
ADDITIONAL PI/PD				

FOR RENEWAL OR CONTINUING AWARD REQUEST, LIST PREVIOUS AWARD NO.:	IF SUBMITTING ORGANIZATION IS A SMALL BUSINESS CONCERN, CHECK HERE ☐ (See CFR Title 13, Part 121 for Definitions)

*Submission of social security numbers is voluntary and will not affect the organization's eligibility for an award. However, they are an integral part of the NSF information system and assist in processing the proposal. SSN solicited under NSF Act of 1950, as amended.

CHECK APPROPRIATE BOX(ES) IF THIS PROPOSAL INCLUDES ANY OF THE ITEMS LISTED BELOW:

☐ Animal Welfare
☐ Endangered Species
☐ Historical Sites
☐ Human Subjects
☐ Marine Mammal Protection
☐ Pollution Control
☐ National Environmental Policy Act
☐ Research Involving Recombinant DNA Molecules
☐ Proprietary and Privileged Information

PRINCIPAL INVESTIGATOR/ PROJECT DIRECTOR		AUTHORIZED ORGANIZATIONAL REP.		OTHER ENDORSEMENT (optional)	
NAME		NAME		NAME	
SIGNATURE		SIGNATURE		SIGNATURE	
TITLE		TITLE		TITLE	
DATE	TELEPHONE NO.	DATE	TELEPHONE NO.	DATE	TELEPHONE NO.

NATIONAL SCIENCE FOUNDATION

U.S.-Japan Cooperative Science Program

PROPOSAL INFORMATION PAGE

Proposal Category:
☐ Cooperative Research
☐ Joint Seminar
☐ Long-term Visit

Discipline Category:
☐ EDS: Education in the Sciences
☐ EPA: Earth, Planetary, and Astronomical Sciences
☐ BAM: Biological, Agricultural, and Medical Sciences
☐ MPC: Mathematical, Physical, and Chemical Sciences
☐ ENG: Engineering Sciences
☐ IPS: Interdisciplinary Problems Related to the Natural Sciences

☐ XFP: Special Interest: Food Productivity for Cooperative
☐ XMB: Special Interest: Marine Biology Research only

☐ STC: Scientific and Technical Communications
(not a competitive proposal category)

Name of Japanese Investigator/Organizer	**Organization**

For Seminars	First Choice Location	**First Choice Date**
	Second Choice Location	**Second Choice Date**
	Is this seminar related to any other meeting? If so, give name:	

(SEE INSTRUCTIONS ON
REVERSE BEFORE
COMPLETING)

SUMMARY
PROPOSAL BUDGET

ORGANIZATION	**FOR NSF USE ONLY** PROPOSAL NO.	DURATION (MONTHS) Proposed	 Granted
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR	AWARD NO.		

	NSF FUNDED PERSON-MOS. CAL.	ACAD	SUMR	FUNDS REQUESTED BY PROPOSER	FUNDS GRANTED BY NSF (IF DIFFERENT)
A. SENIOR PERSONNEL: PI/PD, Co PI's, Faculty and Other Senior Associates (List each separately with title; A.6. show number in brackets)					
1.				$	$
2.					
3.					
4.					
5. ( ) OTHERS (LIST INDIVIDUALLY ON BUDGET EXPLANATION PAGE)					
6. ( ) TOTAL SENIOR PERSONNEL (1-5)					
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)					
1. ( ) POST DOCTORAL ASSOCIATES					
2. ( ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)					
3. ( ) GRADUATE STUDENTS					
4. ( ) UNDERGRADUATE STUDENTS					
5. ( ) SECRETARIAL-CLERICAL					
6. ( ) OTHER					
TOTAL SALARIES AND WAGES (A+B)					
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)					
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A+B+C)					
D. PERMANENT EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING $1,000; ITEMS OVER $10,000 REQUIRE CERTIFICATION)					
TOTAL PERMANENT EQUIPMENT					
E. TRAVEL 1. DOMESTIC (INCL. CANADA AND U.S. POSSESSIONS)					
2. FOREIGN					
F. PARTICIPANT SUPPORT COSTS 1. STIPENDS $ ________ 2. TRAVEL ________ 3. SUBSISTENCE ________ 4. OTHER ________					
TOTAL PARTICIPANT COSTS					
G. OTHER DIRECT COSTS					
1. MATERIALS AND SUPPLIES					
2. PUBLICATION COSTS/PAGE CHARGES					
3. CONSULTANT SERVICES					
4. COMPUTER (ADPE) SERVICES					
5. SUBCONTRACTS					
6. OTHER					
TOTAL OTHER DIRECT COSTS					
H. TOTAL DIRECT COSTS (A THROUGH G)					
I. INDIRECT COSTS (SPECIFY)					
TOTAL INDIRECT COSTS					
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)					
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECTS GPM 252 AND 253)					
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)				$	$

PI/PD TYPED NAME & SIGNATURE*	DATE	**FOR NSF USE ONLY** INDIRECT COST RATE VERIFICATION		
INST. REP. TYPED NAME & SIGNATURE*	DATE	Date Checked	Date of Rate Sheet	Initials - DGC Program

NSF Form 1030 (10-80) *Supersedes All Previous Editions*

*SIGNATURES REQUIRED ONLY FOR REVISED BUDGET (GPM 233)

INSTRUCTIONS FOR USE OF SUMMARY PROPOSAL BUDGET (NSF FORM 1030) (10-80)

1. General

a. Each grant proposal, including requests for supplemental or incremental funding, must contain a Summary Proposal Budget in this format unless a pertinent program guideline specifically provides otherwise.

b. Copies of NSF Form 1030 and instructions should be reproduced locally as NSF will not supply the form.

c. A separate form should be completed for each year of support requested. An additional form showing the cumulative budget for the full term requested should be completed for proposals requesting more than one year's support. Identify each year's request (e.g., "First year __________," or "Cumulative Budget," etc.) in the margin at the top right of the form.

d. Completion of this summary does not eliminate the need to fully document and justify the amounts requested in each category. Such documentation should be provided on additional page(s) immediately following the budget in the proposal and should be identified by line item. The documentation page(s) should be titled "Budget Explanation Page."

e. Revised budgets must be signed and dated by the authorized organizational representative and principal investigator and submitted in at least the original and two copies.

2. Budget Line Items

A full discussion of the budget and the allowability of selected items of cost is contained in *NSF Grants for Scientific Research* (NSF 78-41), *NSF Grant Policy Manual—GPM* (NSF 77-47), and other NSF program brochures and guidelines. Following is a brief outline of budget documentation requirements by line item. ***(NOTE: All documentation or justification required on the line items below should be provided on the Budget Explanation Page.)***

A., B., and C. Salaries, Wages, and Fringe Benefits (GPM 511). On the Budget Explanation Page, list individually all senior personnel who were grouped under A5, the requested person-months to be funded, and rates of pay.

D. ***Permanent Equipment*** (GPM 512 and 204.2). While items exceeding $500 and 2 years' useful life are defined as permanent equipment, it is only necessary to list item and dollar amount for each item exceeding $1,000; items over $10,000 require certification. Fully justify.

E. ***Travel*** (GPM 514). Address the type and extent of travel (including consultant travel) and its relation to the project. Itemize by destination and cost and justify travel outside the United States and its possessions, Puerto Rico, and Canada. Include dates of foreign visits or meetings. Fare allowances are limited to round-trip, jet-economy rates.

F. ***Participant Support Costs*** (GPM 518). Normally participant support may only be requested under specific science education programs or for grants supporting conferences or symposia. Consult *Grants for Scientific Research* or specific program guidelines.

G. ***Other Direct Costs.***

1. *Materials and Supplies* (GPM 513). Indicate types required and estimate costs.
2. *Publication Costs/Page Charges* (GPM 517). Estimate cost of preparing and publishing project results.
3. *Consultant Services* (GPM 516). Indicate name, daily compensation (limited to $193/day), and estimated days of service, and justify.
4. *Computer Services* (GPM 515). Include justification based on established computer service rates at the proposing institution. Include computer equipment leasing. Purchase of equipment is included under D.
5. *Subcontracts* (GPM 623). Must be approved in advance. Include a completed budget and justify details.
6. *Other*. Itemize and justify.

I. ***Indirect Costs*** (GPM 530). Specify current rate(s) and base(s). Use current rate(s) negotiated with the cognizant Federal negotiating agency. See *GPM* for special policy regarding grants to individuals, travel grants, equipment grants, doctoral dissertation grants, and grants involving participant support costs.

K. ***Residual Funds*** (GPM 253). For incremental funding requests on continuing grants, enter the amount estimated to be in *excess* of 10% at the planned amendment effective date. If less than 10%, indicate: "none." Residual funds should *not* be reflected in budget categories A-I. A justification for carryover of funds in excess of 10% is required. For standard grants (GPM 252), the total estimated residual amount should be shown.

L. Item L will be the same as Item J unless the Foundation disapproves the carryover of funds. If disapproved, Item L will equal J minus K.

Current and Pending Support

The following information should be provided for each investigator and other senior personnel Failure to provide this information may delay consideration of the proposal.

	A	B	C	D	E		F
	Supporting Agency	Project Title	Award Amount (or Annual Rate)	Period Covered By Award	Man-Months Or % of Effort Committed To The Project		Location Where Research Is/Will Be Performed
					ACAD.	SUMM.	
I. (Name of Principal Investigator)							
A. *Current Support*							
List—If none, Report none	——	——	——	——	——	——	——
B. *Proposals Pending*							
1. List this proposal	——	——	——	——	——	——	——
2. Other pending proposals, including renewal applications	——	——	——	——	——	——	——
3. Proposals planned to be submitted in near future	——	——	——	——	——	——	——
II. (Name of co-principal investigator and/or faculty associate)	——	——	——	——	——	——	——
A.							
B.							
III. Transfer of Support If this project has previously been funded by another agency, please list and furnish information for immediately preceding funding period.	——	——	——	——	——	——	——
IV. (Other agencies to which this proposal has been/will be submitted)	——						

NOTICE OF RESEARCH PROJECT

SCIENCE INFORMATION EXCHANGE

SMITHSONIAN INSTITUTION

NATIONAL SCIENCE FOUNDATION

PROJECT SUMMARY

SIE PROJECT NO.
NSF AWARD NO.

FOR NSF USE ONLY

DIRECTORATE/DIVISION	PROGRAM OR SECTION	PROPOSAL NO.	F.Y.

NAME OF INSTITUTION (INCLUDE BRANCH/CAMPUS AND SCHOOL OR DIVISION)

ADDRESS (INCLUDE DEPARTMENT)

PRINCIPAL INVESTIGATOR(S)

TITLE OF PROJECT

TECHNICAL ABSTRACT (LIMIT TO 22 PICA OR 18 ELITE TYPEWRITTEN LINES)

1. Proposal Folder
2. Program Suspense
3. Division of Grants & Contracts
4. Science Information Exchange
5. Principal Investigator
6. Off. of Govt. & Pub. Progs.

NATIONAL SCIENCE FOUNDATION
Washington, D.C. 20550

FINAL PROJECT REPORT
NSF FORM 98A

PLEASE READ INSTRUCTIONS ON REVERSE BEFORE COMPLETING

PART I–PROJECT IDENTIFICATION INFORMATION

1. Institution and Address

2. NSF Program

3. NSF Award Number

4. Award Period
From To

5. Cumulative Award Amount

6. Project Title

PART II–SUMMARY OF COMPLETED PROJECT *(FOR PUBLIC USE)*

PART III–TECHNICAL INFORMATION *(FOR PROGRAM MANAGEMENT USES)*

1. ITEM *(Check appropriate blocks)*	NONE	ATTACHED	PREVIOUSLY FURNISHED	TO BE FURNISHED SEPARATELY TO PROGRAM	
				Check (√)	Approx. Date
a. Abstracts of Theses					
b. Publication Citations					
c. Data on Scientific Collaborators					
d. Information on Inventions					
e. Technical Description of Project and Results	▨				
f. Other *(specify)*					

2. Principal Investigator/Project Director Name *(Typed)*	3. Principal Investigator/Project Director Signature	4. Date

NSF Form 98A (5-78) Supersedes All Previous Editions

Form Approved OMB No. 99R0013

BEST DOCUMENT AVAILABLE

INSTRUCTIONS FOR FINAL PROJECT REPORT
(NSF FORM 98A)

This report is due within 90 days after the expiration of the award. It should be submitted in two copies to:

National Science Foundation
Division of Grants and Contracts
Post-Award Projects Branch
1800 G Street, N.W.
Washington, D.C. 20550

INSTRUCTIONS FOR PART I

These identifying data items should be the same as on the award documents.

INSTRUCTIONS FOR PART II

The summary (about 200 words) must be self-contained and intelligible to a scientifically literate reader. Without restating the project title, it should begin with a topic sentence stating the project's major thesis. The summary should include, if pertinent to the project being described, the following items:

- The primary objectives and scope of the project.
- The techniques or approaches used only to the degree necessary for comprehension.
- The findings and implications stated as concisely and informatively as possible.

This summary will be published in an annual NSF report. Authors should also be aware that the summary may be used to answer inquiries by nonscientists as to the nature and significance of the research. Scientific jargon and abbreviations should be avoided.

INSTRUCTIONS FOR PART III

Items in Part III may, but need not, be submitted with this Final Project Report. Place a check mark in the appropriate block next to each item to indicate the status of your submission.

a. Self-explanatory.
b. For publications (published and planned) include title, journal or other reference, date, and authors. Provide two copies of any reprints as they become available.
c. Scientific Collaborators: provide a list of co-investigators, research assistants and others associated with the project. Include title or status, e.g. associate professor, graduate student, etc.
d. Briefly describe any inventions which resulted from the project and the status of pending patent applications, if any.
e. Provide a technical summary of the activities and results. The information supplied in proposals for further support, updated as necessary, may be used to fulfill this requirement.
f. Include any additional material, either specifically required in the award instrument (e.g. special technical reports or products such as films, books, studies) or which you consider would be useful to the Foundation.

U.S.-Japan Cooperative Science Program

CHECK LIST FOR PROPOSAL SUBMISSION

- [ ] Cover Page (use form provided)
- [ ] Proposal Information Page (use form provided)
- [ ] Principal Investigator's telephone number on Cover Page
- [ ] Required signatures on Cover Page
- [ ] Table of Contents
- [ ] Project Summary (use form provided/less than 200 words/intelligible to nonscientists)
- [ ] Budget on proper form with required signatures
- [ ] Vitae and current list of *recent* publications of senior personnel
- [ ] Japanese counterpart proposal collated in each proposal copy (not required for long-term visit proposals)
- [ ] Ten copies of proposal, including original signed copy

For Cooperative Research and Long-term Visit Proposals:

- [ ] Project Description
- [ ] Expected Scientific and International Benefits
- [ ] Information on Previous Professional Visits to Japan
- [ ] Current and Pending Support

For Joint Seminar Proposals:

- [ ] Seminar Description, including justification for international meeting and expected benefits
- [ ] Agenda
- [ ] Proposed U.S. and Japanese participants (expected attendees only; not a shopping list)
- [ ] Is the seminar unrelated to any other meeting or symposium?
- [ ] Dissemination of information

For Long-term Visit Proposals:

- [ ] Copies of correspondence with proposed Japanese host